

2131/7PA/92B
Docket No.: 42390P8628X

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON

Application No.: 09/668,408

Filed: September 22, 2000

For: **MANAGING A SECURE
ENVIRONMENT USING A CHIPSET IN
ISOLATED EXECUTION MODE**

Art Group: 2131

Examiner: Taghi T. Arani

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement(s). Any fees that are required for submission of an Information Disclosure Statement were included in the electronic submission. Applicant respectfully requests that one submitted fee be accepted for the second and any subsequent Information Disclosure Statement submissions.

Respectfully submitted,

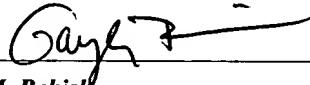
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: November 08, 2004

Gregory D. Caldwell, Reg. No. 39,926

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Los Angeles, CA 90025
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Gayle M. Bekish

11-08-04

Date



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application No.	09/668,408
		Filing Date	September 22, 2000
		First Named Inventor	Carl M. Ellison
		Art Unit	2131
		Examiner Name	Taghi T. Arani
Total Number of Pages in This Submission	8	Attorney Docket Number	42390P8628X

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):	<div style="border: 1px solid black; padding: 5px; height: 100px; width: 100px; vertical-align: top;"> Return Postcard </div>	<div style="border: 1px solid black; padding: 5px; height: 100px; width: 100px; vertical-align: top;"> Remarks </div>	
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	November 8, 2004

CERTIFICATE OF MAILING/TRANSMISSION

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Typed or printed name	Gayle M. Bekish
Signature	
Date	November 8, 2004



FEET TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT **(\$)**

Complete if Known

Application Number	09/668,408
Filing Date	September 22, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	Taghi T. Arani
Art Unit	2131
Attorney Docket No.	42390P8628X

METHOD OF PAYMENT (check all that apply)

Check Credit card Money Order Other None
 Deposit Account

Deposit Account Number **02-2666**
 Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)		(\$)			

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
<input type="checkbox"/>	60	= <input type="checkbox"/> X <input type="checkbox"/> =	
Independent Claims	4	= <input type="checkbox"/> X <input type="checkbox"/> =	

Multiple Dependent

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	88	2201	44	Independent claims in excess of 3	
1203	300	2203	150	Multiple Dependent claim, if not paid	
1204	88	2204	44	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)		(\$)			

*or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEES

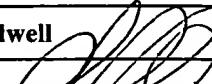
Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65 Surcharge - late filing fee or oath
1052	50	2052	25 Surcharge - late provisional filing fee or cover sheet.
2053	130	2053	130 Non-English specification
1812	2,520	1812	2,520 For filing a request for ex parte reexamination
1804	920*	1804	920* Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840* Requesting publication of SIR after Examiner action
1251	110	2251	55 Extension for reply within first month
1252	430	2252	215 Extension for reply within second month
1253	980	2253	490 Extension for reply within third month
1254	1,530	2254	765 Extension for reply within fourth month
1255	2,080	2255	1,040 Extension for reply within fifth month
1404	340	2401	170 Notice of Appeal
1402	340	2402	170 Filing a brief in support of an appeal
1403	300	2403	150 Request for oral hearing
1451	1,510	2451	1,510 Petition to institute a public use proceeding
1452	110	2452	55 Petition to revive - unavoidable
1453	1,370	2453	685 Petition to revive - unintentional
1501	1,370	2501	685 Utility issue fee (or reissue)
1502	490	2502	245 Design issue fee
1503	660	2503	330 Plant issue fee
1460	130	2460	130 Petitions to the Commissioner
1807	50	1807	50 Processing fee under 37 CFR 1.17(q)
1806	180	1806	180 Submission of Information Disclosure Stmt
8021	40	8021	40 Recording each patent assignment per property (times number of properties)
1809	790	1809	395 Filing a submission after final rejection (37 CFR § 1.129(a))
1810	790	2810	395 For each additional invention to be examined (37 CFR § 1.129(b))
1801	790	2801	395 Request for Continued Examination (RCE)
1802	900	1802	900 Request for expedited examination of a design application
Other fee (specify)			
SUBTOTAL (3)		(\$)	

*Reduced by Basic Filing Fee Paid

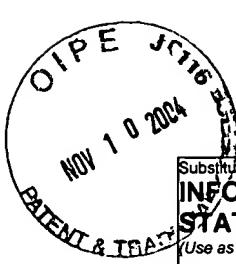
SUBTOTAL (3)

(\$)

SUBMITTED BY

Name (Print/Type)	Gregory D. Caldwell	Registration No. (Attorney/Agent)	39,926	Telephone	(503) 439-8778
Signature				Date	11/08/04

Based on PTO/SB/17 (10-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wtr) 02/10/2004.
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Substitute for form 1449A/PTO
**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Complete if Known

Application Number	09/668,408
Filing Date	September 22, 2000
First Named Inventor	Ellison, Carl
Group Art Unit	2131
Examiner Name	Arani, Taghi

Sheet 1 of 2

Attorney Docket No: 42P08628X

US PATENT DOCUMENTS

Examiner Initials*	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
	DE-DE4217444	12/03/1992	Toyohisa, Imada , et al.			
	EP-EP0473913	03/11/1992	Farrell, Joel A.			
	EP-EP0961193	12/01/1999	Laczko, Sr., Frank L.			
	EP-EP1209563	05/29/2002	England, Paul , et al.	G06F	9/445	
	EP-EP1271277	01/02/2003	Behar, Yaachov			
	[REDACTED]	[REDACTED]	[REDACTED]			
	WO-WO0021238	04/13/2000	Drews, Paul C.			
	WO-WO0175564	10/11/2002	Herbert, Howard C., et al.			
	WO-WO02086684	10/31/2002	Proudler, Graeme J.			
	WO-WO0217555	02/28/2002	Ford, Warwick			

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		BRANDS, STEFAN , "Restrictive Blinding of Secret-Key Certificates", SPRINGER-VERLAG XP002201306, (1995),Chapter 3	
		CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor", 7th Annual IEEE Symposium, FCCM '99 Proceedings, XP010359180, ISBN 0-7695-0375-6, Los Alamitos, CA, (4/21/1999),209-221	
		COMPAQ COMPUTER CORPORATION, "Trusted Computing Platform Alliance (TCPA) Main Specification Version 1.1a", XP002272822, (1/25/2001),1-321	
		DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", Proceedings of the Symposium on Security and Privacy, IEEE Comp. Soc. Press, ISBN 0-8186-1939-2,(May 1989),	
		HP MOBILE SECURITY OVERVIEW, "HP Mobile Security Overview", (Sept. 2002),1-10	
		IBM, "Information Display Technique for a Terminate Stay Resident Program IBM Technical Disclosure Bulletin", TDB-ACC-No. NA9112156, Vol. 34, Issue 7A, (12/1/1991),156-158	
		IBM CORPORATION, "IBM ThinkPad T30 Notebooks", IBM Product Specification, located at www-1.ibm.com/services/files/cisco t30 spec sheet 070202.pdf, last visited June 23, 2004,(July 2, 2002),1-6	
		INTEL, "IA-32 Intel Architecture Software Developer's Manual", Volume 3: System Programming Guide, Intel Corporation - 2003,13-1 through 13-24	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Complete if Known	
		Application Number	09/668,408
		Filing Date	September 22, 2000
		First Named Inventor	Ellison, Carl
		Group Art Unit	2131
		Examiner Name	Arani, Taghi
Sheet 2 of 2		Attorney Docket No: 42P08628X	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		INTEL CORPORATION, "Intel 82802AB/82802AC Firmware Hub (FWH)", <u>Intel Product Datasheet</u> , Document Number 290658-004, (November 2000), 1-6, 17-28	
		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture", <u>Proceedings of the Symposium on Research in Security and Privacy</u> , XP010020182, ISBN 0-8186-2060-9, Boxborough, MA, (5/7/1990), 2-19	
		KASHIWAGI, KAZUHIKO, et al., "Design and Implementation of Dynamically Reconstructing System Software", <u>Software Engineering Conference</u> , Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8, (1996),	
		LUKE, JAHN, et al., "Replacement Strategy for Aging Avionics Computers", <u>IEEE AES Systems Magazine</u> , XP002190614, (March 1999),	
		MENEZES, ALFRED J., et al., "Handbook of Applied Cryptography", <u>CRC Press LLC</u> , USA XP002201307, (1997), 475	
		RICHT, STEFAN, et al., "In-Circuit-Emulator Wird Echtzeittauglich", <u>Elektronik</u> , Franzis Verlag GMBH, Munchen, DE, Vol. 40, No. 16, XP000259620, (100-103), 8-6-1991	
		ROBIN, JOHN S., et al., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor", <u>Proceedings of the 9th USENIX Security Symposium</u> , XP002247347, Denver, Colorado, (8/14/00), 1-17	
		SAEZ, SERGIO, et al., "A Hardware Scheduler for Complex Real-Time Systems", <u>Proceedings of the IEEE International Symposium on Industrial Electronics</u> , XP002190615, (July 1999), 43-48	
		SHERWOOD, TIMOTHY, et al., "Patchable Instruction ROM Architecture", <u>Department of Computer Science and Engineering</u> , University of California, San Diego, La Jolla, CA, (Nov. 2001),	

EXAMINER

DATE CONSIDERED